



**Gaming
Commission**

**Lottery Courier Service
License Application Rider for
Instant Lottery Game Ticket Courier Services**

Name of Applicant:

Lottery Courier Service License Application Rider for Instant Lottery Game Ticket Courier Services

A courier service cannot offer its services in New York as related to instant lottery game tickets unless licensed by the Commission to specifically to do so.

To apply to be licensed by the Commission to provide courier services related to instant lottery game tickets offered by the Commission's New York Lottery program, complete this Rider to the Lottery Courier Service License Application, with responses provided as **Exhibits 29 through 37**, correlated to the numbered paragraphs below.

All other requirements in the Lottery Courier Service License Application that are not specific to the nature of draw games, shall also apply to a lottery courier service licensee's provision of courier services to customers related to instant lottery game tickets.

29) Business Plan

Provide as Exhibit 29:

The Applicant's business plan for courier services as related to the offering of **instant lottery game** ticket courier services (see § 5014.2(b)(11)). Such plan shall include:

- a) the estimated sales per week (see § 5014.2(b)(4));
- b) proposed service charge, if any (see § 5014.19(a));
- c) proposed methods for funding of accounts (see § 5014.10(c));
- d) a description of the Applicant's customer support policies and procedures, including responding to and resolving inquiries, complaints and disputes; maintaining a permanent record summarizing the number and nature of consumer complaints and the resolution or outcome of such complaints; and maintaining records of customer complaints for a period of two years, including,
 - i.) The original or copies of the complaint;
 - ii.) All written communications between the licensee and the complainant;
 - iii.) All documents or telephone recordings created in connection with a complaint;
 - iv.) Any documentation provided to the courier customer by the licensee;
 - v.) The name and address of the complainant;
 - vi.) The purpose of the complaint;
 - vii.) The date the complaint was received by the courier service;
 - viii.) The complaint denial whenever a complaint is denied; and
 - ix.) Any additional information used by the courier service in determining how to resolve the complaint

(see §§ 5014.3(a)(8) and 5014.18);

- e) sample courier customer agreement and sample user terms and conditions (see § 5014.6);

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- f) marketing plans, network promotional features, discounts, group packages;
- g) a list of any Lottery sales agents with whom the Applicant intends to partner or from whom the Applicant intends to purchase Lottery tickets, identifying and such sales agents' physical addresses; and
- h) a description of how the Applicant intends to accept a request to purchase authorized game tickets.
- i) a description of how the Applicant intends to manage and track all aspects of an instant ticket order including delivery of physical tickets to the requestor.
- j) a description of how the Applicant intends to keep active instant tickets secure prior to delivery.

If the business plan submitted as Exhibit 14 of the Applicant's Lottery Courier Service License Application includes this information, identify the specific location within Exhibit 14 where such information is found.

30) Request Processing Location

In Exhibit 30, identify the location within New York State where the Applicant will receive and process instant lottery game ticket courier service requests. (See §§ 5000.2(p) and 5014.7(d)). Please note if the location identified here is a different location than is approved by the Commission for the Applicant to receive and process draw game ticket courier service requests.

LOCATION ADDRESS	TELEPHONE #	LOCATION CONTACT NAME

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31) Ticket Processing Location

In Exhibit 31, identify the location within New York State where the Applicant will process instant lottery game tickets obtained from a licensed sales agent (please be sure to specify Applicant's instant lottery game ticket processing location (*i.e.*, scanning tickets and fulfilling prizes) and NOT sales agent's customer-facing ticket sale location). (See §§ 5000.2(p) and 5014.7(d)). Please note if the location identified here is a different location than is approved by the Commission for the Applicant to process draw game tickets obtained from a licensed sales agent.

LOCATION ADDRESS	TELEPHONE #	LOCATION CONTACT NAME

32) Instant Lottery Game Ticket-related Internal Controls

Provide as Exhibit 32:

The Applicant's existing or proposed internal controls related to instant lottery game ticket courier services and the purpose of each. Internal controls should demonstrate that the Applicant has adequate controls in place to address data security, responsiveness to cybersecurity events to mitigate any negative events, recovery from cybersecurity events and restoration of normal operations and services, risk assessment and mitigation, training, access controls and identity management, systems operations and availability concerns, courier customer data privacy, incident response, disaster recovery, document retention and any other relevant control issue. (See §§ 5014.2(b)(10) and 5014.16). If proposed controls are submitted with this application, the Applicant shall submit final controls to the Commission and obtain final Commission approval for the Applicant's internal controls prior to the Applicant's system going live. Internal controls for instant lottery game tickets should include how the Applicant will ensure that the tickets scratch-off areas have not been scratched, altered, or tampered with in any way, that the ticket has not been checked for winner/non-winner status before fulfilling the order, and that the ticket purchased for the customer is the same physical ticket that is sent to the courier customer.

If the internal controls submitted as Exhibit 15 of the Applicant's Lottery Courier Service License Application include this information, identify the specific location within Exhibit 15 where such information is found.

33) Technical Standards

Describe in Exhibit 33 how the Applicant will process each courier customer instant lottery game ticket purchase request. Specifically discuss how the following processes will be completed (see §§ 5000.2(p) and 5014.2(b)(10)):

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- a) Determining which instant game tickets the Applicant will offer to purchase and communicating available instant ticket games to potential courier customers;
- b) Accepting a request to purchase authorized instant lottery game tickets;
- c) Purchasing the instant lottery game tickets to complete the courier customer's purchase request through an affiliate agent;
- d) Recording image of the front and back of the instant lottery game ticket to create a legible image thereof;
- e) Matching the instant lottery game ticket to the courier customer's purchase request and verifying the accuracy of the purchase ;
- f) Providing the courier customer with a purchase confirmation and an image of the front and back of the instant lottery game ticket purchased;
- g) Processing and recording each instant lottery game ticket purchased as an individualized transaction;
- h) Handling required ticket cancellation and refunds (see §§ 5014.12(b) and 5014.19(d));
- i) Providing to each courier customer each promotional benefit to which such courier customer is entitled (see § 5014.17(a));
- j) Ensuring tickets remain secure from Lottery sales agent location (where ticket purchase occurs) to Applicant's location for processing;
- k) Sample incident reports and proposed escalation plan by incident type (see § 5014.7(h)).

34) Time Requirements

Describe in Exhibit 34 the following:

- a) How the Applicant will prevent the Applicant's acceptance of a request for courier services for an instant lottery game ticket after the announced end of the game relating to such ticket (see § 5014.2(a)(3)).
- b) How the Applicant will prevent the Applicant's acceptance of a request to purchase an instant lottery game ticket that is not available for sale to the public by a lottery sales agent at the time such request is made (see § 5014.12(a)(4)).
- c) How the Applicant will complete instant lottery game ticket processing within 24 hours of a request for instant lottery game ticket courier services placed during normal business hours (see § 5014.12(a)(1)(ii)).

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35) Ticket Confirmation

Describe in Exhibit 35 the Applicant's mechanisms for providing a user ordering an instant lottery game ticket with the following:

- a) A secure confirmation of the ticket processing that includes the instant lottery game, pack and ticket number of the ticket, applicable data and player's name, immediately following ticket processing of a printed instant lottery game ticket (see § 5014.7(f)(4)); and
- b) An image of the front and back of an issued ticket in its entirety and relevant shipment tracking information by no later than 4:00 a.m. Eastern Time the day after ticket is shipped (see § 5014.7(f)(5)).

36) Instant Lottery Game Ticket Delivery

Describe in Exhibit 36 how the Applicant will deliver each printed instant lottery game ticket to the courier customer who requested and paid for the purchase of such ticket (see § 5014.12(g)).

37) Record of Courier Customer Purchases

In Exhibit 37, describe the following:

- a) The Applicant's method for providing the following data to the Commission for each instant lottery game ticket purchased by the courier service for a courier customer:
 - (1) The game name and complete visible printed ticket number of the instant lottery ticket;
 - (2) Full name of the courier customer as set forth in such customer's account;
 - (3) Customer account number;
 - (4) Electronic mail address of the courier customer;
 - (5) Date the instant lottery game ticket purchase was ordered;
 - (6) Date the instant lottery game ticket was purchased;
 - (7) Sales agent name and location of the purchase;
 - (8) Time of the purchase (see § 5014.7(g)(2)); and
 - (9) Date the courier service shipped the instant lottery game ticket to the customer.
- b) The storage location and security specifications for the pre-delivery storage of each instant lottery game ticket purchased on behalf of customers (see § 5014.12(e)).